 Independent Verification & Validation Facility	Work Instruction for the Publication/Presentation of Research Results	IVV 09-6-1 Revision: C Effective Date: July 2001
--	--	---

DOWNLOADED AND/OR HARD COPY UNCONTROLLED


Verify that this is the correct version before use.

APPROVAL SIGNATURES		DATE
Gregory Blaney (original signature on file)	QMS Management Representative	07/05/01

REVISION HISTORY			
Rev No.	Description of Change	Author	Effective Date
Initial	Initial Release	Rhonda Fitz IT/300	2/24/99
Rev A	Clarification of NF 1676 form for NASA publication	S.Yassini/IT 232	9/9/99
B	Format and Number changes; Delete Reference to Ames Research Center	Griggs	12/06/00
C	Significant changes to reflect our transition to GSFC	Marcus S. Fisher	07/06/01

REFERENCE DOCUMENTS	
Document Number	Document Title
IVV 09-6	Management and Performance of Research
IVV 16	Control of Quality Records
NASA Procedures and Guidelines (NPG) 2200.2A	Guidelines for Documentation, Approval, and Dissemination of NASA Scientific and Technical Information

CHECK THE MASTER LIST at <http://www.ivv.nasa.gov/iso9000>
 VERIFY THAT THIS IS THE CORRECT REVISION BEFORE USE

 Independent Verification & Validation Facility	<p align="center">Work Instruction for the Publication/Presentation of Research Results</p>	IVV 09-6-1 Revision: C Effective Date: July 2001
--	--	---

1. Purpose

This work instruction provides requirements for the publication and/or the presentation of results of research conducted by or under agreement with the NASA Independent Verification and Validation (IV&V) Facility. This work instruction provides detail for IVV 09-6, Management and Performance of Research. It is intended to be compliant with NASA Procedures and Guidelines 2200.2A, Guidelines for Documentation, Approval, and Dissemination of NASA Scientific and Technical Information.

2. Scope

The general requirements within this work instruction apply to organizations that perform research in accordance with IVV 09-6, Management and Performance of Research, where the IV&V Facility is responsible for the release of the research results. When the Research product is a scientific and technical publication, material for conference or workshop presentation, or is otherwise planned to be discussed in a public (including electronic) forum, these requirements are applicable. Research products are either generated from within the IV&V Facility or from outside the IV&V Facility. Internal research products fall within the scope of this work instruction and external research products that are to be delivered to the IV&V Facility also fall within the scope of this work instruction.

3. Definitions and Acronyms

3.1 Research Lead


NASA civil servant with the authority to approve/disapprove any research proposals or activities.

3.2 Conference Presentation

Oral presentation of scientific and technical findings to audiences at society meetings and other professional gatherings.

3.3 Customer

The source of funding of a particular research project or activities as defined with a Research Plan.

 Independent Verification & Validation Facility	Work Instruction for the Publication/Presentation of Research Results	IVV 09-6-1 Revision: C Effective Date: July 2001
--	--	---

3.4 Director

Director of the NASA IV&V Facility.

3.5 NASA Publication

Report published by a NASA center. As part of the NASA STI Report Series, it can be a Technical Publication (TP), Technical Memorandum (TM), Contractor Report (CR), Conference Publication (CP), Special Publication (SP), or Technical Translation (TT).

3.6 NASA Scientific and Technical Information (STI)

Collected set of facts, analyses, and conclusions resulting from scientific, technical, and related engineering research and development efforts, both basic and applied.

3.7 Non-NASA Publication

A technical paper, article, or book reporting on NASA research submitted by a NASA employee, contractor, or grantee for publication through a non-NASA channel (e.g., professional society journals and conference or symposia proceedings).

3.8 Researcher


Person responsible for conducting the research in accordance with a documented Research plan, reporting status periodically to the Principal Investigator, and documenting and/or presenting research results.

3.9 Research Plan

Documents developed to plan research activities and to describe the scientific and/or technical objectives, deliverables, and resources needed. Research plans include, but are not limited to, research proposals and research-related portions of program/project plans.

3.10 Research Product

Products such as scientific and technical publications, data, research results, and associated system, hardware, and/or software prototypes.

 Independent Verification & Validation Facility	Work Instruction for the Publication/Presentation of Research Results	IVV 09-6-1 Revision: C Effective Date: July 2001
--	--	---

3.11 Principal Investigator

The lead researcher who actually conducts the research. Each research project has a Principal Investigator. If the Principal Investigator is a civil servant or JPL employee, they may also be the Point Of Contact for the research project. However if the Principal Investigator is from academia or industry, then a separate government Point Of Contact is assigned to the research project.

3.12 World Wide Web (WWW)

Electronic information system based on Internet protocols. Placement of NASA STI on the WWW is considered a release to an international audience.

3.13 Internal STI

Scientific and Technical Information resulting from research being conducted within the IV&V Facility by Facility personnel.

3.14 External STI

Scientific and Technical Information resulting from research being conducted outside the IV&V Facility. Results are provided to the IV&V Facility as a deliverable to a research project the Facility manages.


3.15 Point Of Contact (POC)

NASA civil servant or JPL employee that is responsible for the administrative requirements imposed upon a research project.


3.16 Acronyms

CP	Conference Publication
CR	Contractor Report
DAA	Document Availability Authorization
FRC	Federal Records Center
IV&V	Independent Verification and Validation
NPG	NASA Procedures and Guidelines
PI	Principal Investigator
POC	Point Of Contact

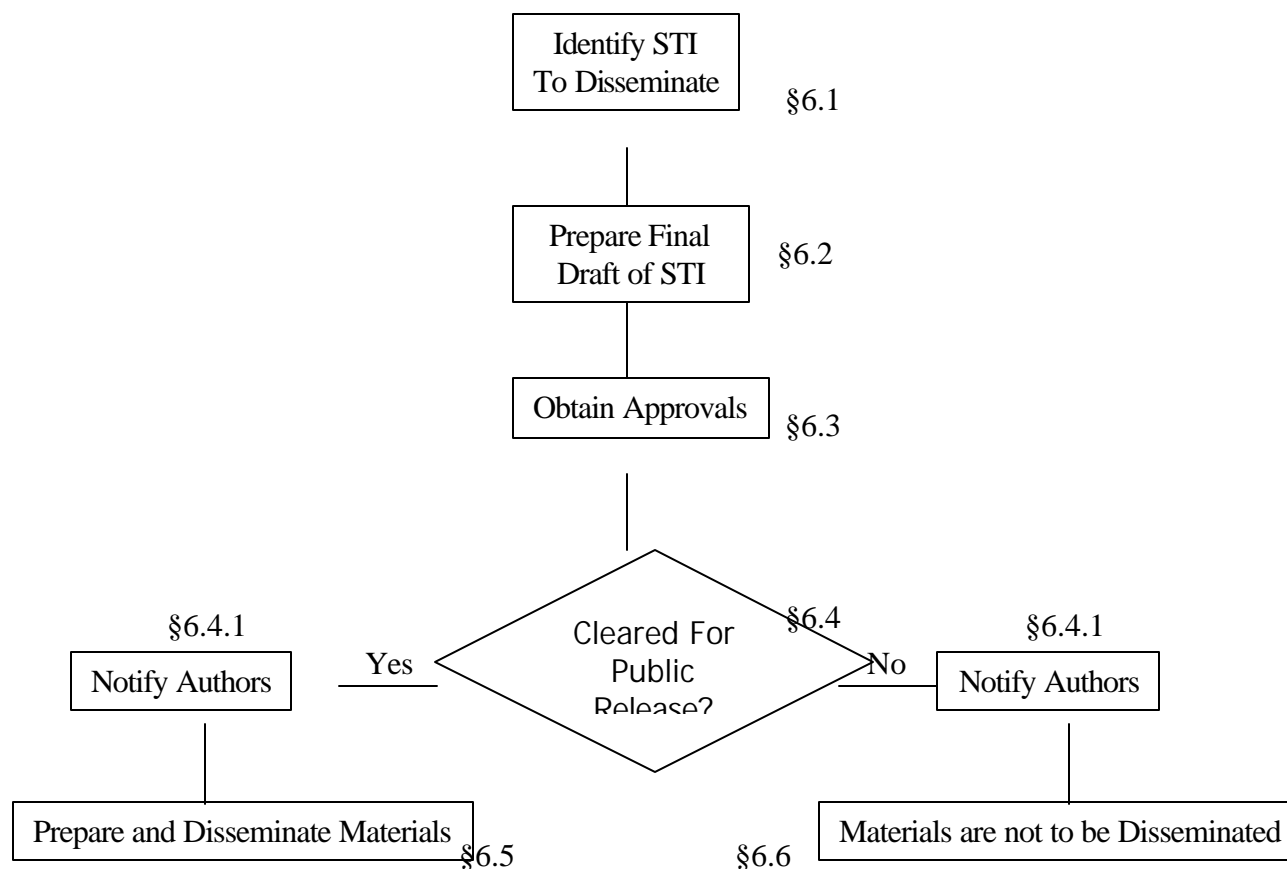
**CHECK THE MASTER LIST at <http://www.ivv.nasa.gov/iso9000>
VERIFY THAT THIS IS THE CORRECT REVISION BEFORE USE**


 Independent Verification & Validation Facility	Work Instruction for the Publication/Presentation of Research Results	IVV 09-6-1 Revision: C Effective Date: July 2001
--	--	---

SP	Special Publication
STI	Scientific and Technical Information
TM	Technical Memorandum
TP	Technical Publication
TT	Technical Translation
WWW	World Wide Web

 Independent Verification & Validation Facility	Work Instruction for the Publication/Presentation of Research Results	IVV 09-6-1 Revision: C Effective Date: July 2001
--	--	---

4. Flow Chart



 Independent Verification & Validation Facility	Work Instruction for the Publication/Presentation of Research Results	IVV 09-6-1 Revision: C Effective Date: July 2001
--	--	---

5. Responsibilities

5.1 Director (or his/her designee) shall:

- Review and approve content of all STI authored within the IV&V Facility that is planned for dissemination for private and public use, and
- Retain the option of delegating these responsibilities.

5.2 Research Lead shall:

- Review and recommend approval or disapproval of the content of all STI authored within the IV&V Facility Research group that is planned for dissemination for private and public use,
- Know and follow NPG 2200.2A, Guidelines for Documentation, Approval, and Dissemination of NASA Scientific and Technical Information, and
- Be responsible for the retention of all Quality Records regarding the publication and/or presentation of these research results.

5.3 Point Of Contact shall:

- Ensure research is conducted in accordance with IVV 09-6,
- Ensure management and peer reviews are conducted as required by this work instruction, and
- Ensure that all STI resulting from the research task is disseminated in compliance with this procedure.

5.4 Principal Investigator shall:

- Complete NF 1676, NASA Scientific and Technical Document Availability Authorization (DAA) as appropriate for research results and publication types.


6. Procedure

Research results (STI) exist as either internal STI or external STI and are to be handled differently during these procedures.

6.1 Identify STI for dissemination

The POC and Research Lead, identifies STI to be disseminated.

**CHECK THE MASTER LIST at <http://www.ivv.nasa.gov/iso9000>
VERIFY THAT THIS IS THE CORRECT REVISION BEFORE USE**

 Independent Verification & Validation Facility	Work Instruction for the Publication/Presentation of Research Results	IVV 09-6-1 Revision: C Effective Date: July 2001
--	--	---

6.2 Prepare Final Draft of STI

- Internal STI

In preparing the final draft, the PI goes through an internal review process in which the PI, any additional authors, and the POC perform any necessary editing. It is at the discretion of the POC to determine the appropriate review. Once all parties concur that the material is suitable for release, step 6.3 can be executed.

- External STI

The Research Lead notifies the POC that the results of his/her research project are going to be published and/or presented to the public by the IV&V Facility. The POC, in consultation with any PIs, prepares a final draft.


6.3 Obtain Approvals

- Internal STI

The PI and POC must submit NASA Form 1676, "NASA Scientific and Technical Document Availability Authorization (DAA)", in order to acquire authorization to disseminate the material. The process for obtaining approval requires the following procedure:

- The PI(s) provide either a summary or a completed copy of the STI with NF 1676; this will be referred to as the package,
- The PI(s) forward the package to the appropriate POC for further review and signature,
- The POC forwards the package to their Center's Export Administrator or to NASA Headquarters' Export Administrator for their signature, and
- It is forwarded to the cognizant NASA Headquarters Program Office or Delegated Authority who provides final review and approval for the material.

Once the NF 1676 has received all the necessary signatures, the POC must place a copy of NF 1676 or the original NF 1676 in the research project file.

 Independent Verification & Validation Facility	Work Instruction for the Publication/Presentation of Research Results	IVV 09-6-1 Revision: C Effective Date: July 2001
--	--	---

- External STI

It is the responsibility of the POC that delivers the research results to the IV&V Facility to provide a copy of NF 1676, "NASA Scientific and Technical Document Availability Authorization (DAA)", to the Research Lead. The Research Lead must place this copy of NF 1676 in the research project file.

If the POC has not obtained NF 1676 for their research, the Research Lead, in consultation with the POC, must prepare NF 1676 and acquire signatures. The procedures for doing this are the same as section 6.3, "Internal STI".

Once the NF 1676 has received all the necessary signatures, the Research Lead must place a copy of NF 1676 or the original NF 1676 in the research project file.

6.4 Approval Notification

If the STI was cleared for public release, the material can be prepared for public dissemination. If it was not cleared for public release, the material must remain within the IV&V Facility. Only documents which have completed the NF 1676 are disseminated, all other are considered not cleared. The form must be on file when placing a document on the Internet.


6.4.1 Notify Author(s)

The Research Lead notifies the POC or the POC notifies the PIs and any additional author(s) of the results of NF1676. Notification can be performed via an email or formal letter. The avenue for notification must be documented and retained in the research project file.

6.5 Prepare and Disseminate Materials

- Internal STI

NASA has cleared the STI for public release and the PI and POC must prepare the material for dissemination. Preparing the material is dependent on the avenue chosen for dissemination. However, no matter what route(s) is/are chosen (e.g. conference, journal, etc.) the POC must decide if the material is also suitable for:

 Independent Verification & Validation Facility	Work Instruction for the Publication/Presentation of Research Results	IVV 09-6-1 Revision: C Effective Date: July 2001
--	--	---

- NASA Scientific & Technical Information (STI) Report Series, and
- IV&V Facility's Research web site.

If the material is suitable for the STI Report Series, the POC must adhere to the procedures established by the STI Report Series. If the material is suitable for the IV&V Facility's Research web site, the POC must make a request to the Research Lead for the material to be added to the web site.

No matter which route(s) is/are chosen for dissemination, the PI and POC must prepare the materials according to:

- Papers and articles are prepared to formats and standards set by individual societies and journals,
- A suitable cover page must be added recognizing the support of the IV&V Facility and any other funding source(s), and
- Materials shall be prepared and disseminated in accordance with NPG 2200.2A, Guidelines for Documentation, Approval, and Dissemination of NASA Scientific and Technical Information.

Upon dissemination, the materials do not have to be kept in the research project file. However, the IV&V Facility must retain an electronic copy.


- External STI

If the research results were cleared for public release, the Research Lead posts the research results to the IV&V Facility Research Web site and encourages the POC to publish the results in the NASA Scientific & Technical Information (STI) Report Series. If the POC chooses to publish in the NASA STI Report Series, the POC must adhere to the procedures established by the STI Report Series.

6.6 Materials are Not to be Disseminated


STI that was not cleared for public release is not to be posted to the Internet and must remain within the IV&V Facility until form NF 1676 is completed.

7. Metrics

 Independent Verification & Validation Facility	Work Instruction for the Publication/Presentation of Research Results	IVV 09-6-1 Revision: C Effective Date: July 2001
--	--	---

The following metrics are to be collected quarterly to support the publication and presentation of research in line with current strategic planning. Each is to be tracked for trend analysis to understand where resources are being applied and with what results. The intent is to improve existing processes and continually revisit research focus strategies. The metrics will include:

- The number of leading research journals/conferences that have been strategically identified as representative targets for publication pertaining to each of the IV&V Facility research themes, and
- The percentage of the strategically identified leading research journals/conferences that currently include a paper(s) written by a researcher(s) of the IV&V Facility's Research Program, as well as the percentage that rejected submissions.

 Independent Verification & Validation Facility	Work Instruction for the Publication/Presentation of Research Results	IVV 09-6-1 Revision: C Effective Date: July 2001
--	--	---

8. Records

The following Quality Records shall be generated and managed in accordance with IVV 16, Control of Quality Records, when applicable in accordance with this Work Instruction for the Publication and/or Presentation of Research Results, IVV 09-6-1.

Document Name and Identification Number	User Responsible for Record Retention	Retention Requirement	Location
NF 1676, NASA Scientific and Technical Document Availability Authorization (DAA)	Research Lead or POC	Permanent	Project File
Notification to researcher(s) regarding NF 1676 results	Research Lead or POC	Permanent	Project File
Quarterly Metrics Report	Research Lead	Five years	Project File or Electronic File
Metadata	IV&V Facility Contractor	Permanent	CIM Tool
Research Product	Research Lead and POC	Permanent	CIM Tool